

Addendum to search 10/779486 [312795] due to forgotten "OR"
Only full text NPL was searched, 4 additional items were found.

File 9:Business & Industry(R) Jul/1994-2009/Nov 11
(c) 2009 Gale/Cengage
File 15:ABI/Inform(R) 1971-2009/Nov 11
(c) 2009 ProQuest Info&Learning
File 16:Gale Group PROMT(R) 1990-2009/Oct 19
(c) 2009 Gale/Cengage
File 20:Dialog Global Reporter 1997-2009/Nov 12
(c) 2009 Dialog
File 148:Gale Group Trade & Industry DB 1976-2009/Oct 23
(c) 2009 Gale/Cengage
File 160:Gale Group PROMT(R) 1972-1989
(c) 1999 The Gale Group
File 267:Finance & Banking Newsletters 2008/Sep 29
(c) 2008 Dialog
File 268:Banking Info Source 1981-2009/Nov W1
(c) 2009 ProQuest Info&Learning
File 275:Gale Group Computer DB(TM) 1983-2009/Oct 13
(c) 2009 Gale/Cengage
File 610:Business Wire 1999-2009/Nov 12
(c) 2009 Business Wire.
File 613:PR Newswire 1999-2009/Nov 12
(c) 2009 PR Newswire Association Inc
File 621:Gale Group New Prod.Annou.(R) 1985-2009/Oct 05
(c) 2009 Gale/Cengage
File 624:McGraw-Hill Publications 1985-2009/Nov 11
(c) 2009 McGraw-Hill Co. Inc
File 625:American Banker Publications 1981-2008/Jun 26
(c) 2008 American Banker
File 626:Bond Buyer Full Text 1981-2008/Jul 07
(c) 2008 Bond Buyer
File 634:San Jose Mercury Jun 1985-2009/Oct 28
(c) 2009 San Jose Mercury News
File 636:Gale Group Newsletter DB(TM) 1987-2009/Oct 19
(c) 2009 Gale/Cengage
File 810:Business Wire 1986-1999/Feb 28
(c) 1999 Business Wire
File 813:PR Newswire 1987-1999/Apr 30
(c) 1999 PR Newswire Association Inc

Set Items Description
S1 2746679 ((SECURITY OR SECURITIES OR STOCK OR STOCKS OR FINANCIAL)(-
INSTRUMENT OR INSTRUMENTS) OR COMMODITY OR COMMODITIES OR FUT-
URE OR FUTURES OR EQUITY OR EQUITIES)(2N)(BROKER OR BROKERS OR
TRADER OR TRADERS OR MARKET())(PARTICIPANT OR PARTICIPANTS))
S2 1014993 S1 NOT PY>2004
S3 419 ((STEP OR STEPS STEPPED())(IN OR INS OR OUT OR OUTS) OR SO-
FT()(DOLLAR OR DOLLARS))(2N)(COMMISSION OR COMMISSIONS OR PAY
OR PAYMENT OR PAYMENTS OR COMPENSATION OR AMOUNT OR AMOUNTS OR
ROYALTY OR ROYALITIES)
S4 446 ((STEP OR STEPS OR STEPPED())(IN OR INS OR OUT OR OUTS) OR
SOFT()(DOLLAR OR DOLLARS))(2N)(COMMISSION OR COMMISSIONS OR P-
AY OR PAYMENT OR PAYMENTS OR COMPENSATION OR AMOUNT OR AMOUNTS
OR ROYALTY OR ROYALITIES)
S5 27 S4 NOT S3
S6 55143 ((NON OR "NOT" OR WITHOUT OR WITH()OUT OR INTERCEPT? OR PRE-
VENT? OR REMOV? OR RESTRICT? OR SUPPRESS? OR HIDE OR HIDES OR
HIDING OR HIDDEN OR CONCEAL? OR SECRET?)(5N)(INFORMATION OR D-
ATA OR IDENTITY OR IDENTIF? OR NAME? ?) OR ANONYM? OR UNIDENT-

IF? OR UNNAMED

S7 4 S5(3S)S6

7/3,K/1 (Item 1 from file: 9)
DIALOG(R)File 9:Business & Industry(R)
(c) 2009 Gale/Cengage. All rts. reserv.

02123919 Supplier Number: 25661225 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Firms Agree to Landmark Yield-Burning Pact
(Firms involved in a recent yield burning settlement are ranked by amount
paid; the 17 firms will pay a total \$138.3+ mil)
The Bond Buyer, v 332, n 30866, p 1+
April 07, 2000
DOCUMENT TYPE: Newspaper; Ranking ISSN: 0732-0469 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 1506

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...at almost \$171 million.

Richard Walker, the commission's enforcement director, said yesterday's agreement was "among the most important steps in the commission's crusade to clean up public finance" and "will close the book on yield burning" as far as the SEC is concerned. However, sources said some firms named in a secret whistleblower suit have not yet settled, and three civil suits seeking class-action status are still pending against the dealers...

7/3,K/2 (Item 1 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
(c) 2009 ProQuest Info&Learning. All rts. reserv.

05856537 142260721
Can Adams, Harkness Ride a Winner? Another bronco buster is mounting that wild horse called tech and health care investing.
Chapman, Peter
Traders Magazine PP: 38 Jul 1, 2002
ISSN: 0894-7295 JRNL CODE: TRMG
WORD COUNT: 2244

...TEXT: that's so. "We don't have a problem trading orders away from them," said an institutional trader who did not want his name mentioned. "A lot of institutions will step out and trade away. But with them, no."

In fact, Ranieri said, outgoing...

...to other brokers, are up since Nasdaq switched to fee-based trading. "We don't mind if some of that [commission] is stepped out and we lose some of that money," he said. "Because we're working a large order which is helping us..."

7/3,K/3 (Item 1 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
(c) 2009 Gale/Cengage. All rts. reserv.

09952430 Supplier Number: 89804659 (USE FORMAT 7 FOR FULLTEXT)
Can Adams, Harkness Ride a Winner? Another bronco buster is mounting that
wild horse called tech and health care investing.(Brief Article)
Chapman, Peter
Traders, pITEM02210017
July 1, 2002
Language: English Record Type: Fulltext
Article Type: Brief Article
Document Type: Magazine/Journal; Trade
Word Count: 2381

... that's so. "We don't have a problem trading orders away from them," said an institutional trader who did not want his name mentioned. "A lot of institutions will step out and trade away. But with them, no."

In fact, Ranieri said, outgoing...

...to other brokers, are up since Nasdaq switched to fee-based trading. "We don't mind if some of that (commission) is stepped out and we lose some of that money," he said. "Because we're working a large order which is helping us..."

7/3,K/4 (Item 1 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
(c) 2008 Dialog. All rts. reserv.

04592072
Can Adams, Harkness Ride a Winner? Another bronco buster is mounting that wild horse called tech and health care investing.
Peter Chapman
Traders
July 1, 2002 DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH WORD COUNT: 2263 RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT:
...lousy market, say execs. As a private partnership, Adams, Harkness does not release financial statements, but Nasdaq and IPO volume data from Thomson Financial does not paint a rosy picture. The total value of stocks underwritten by Adams, Harkness crashed last year to \$636 million from...sales trader makes the call though, says Mazzarella. "God forbid that trade ever goes up and that buyside trader did not relay the information to that portfolio manager," Mazzarella said.

Ranieri says the firm does not track the number of crosses it does, but ...What's of more value is finding someone who really wants to own 500,000 shares."

Tesoro spells it out: "Information drives the business, not capital."

Bigger Shops

Regardless, many institutions will often take research from the boutiques, but dole out their executions to the...

...that's so. "We don't have a problem trading orders away from them," said an institutional trader who did not want his name mentioned. "A lot of institutions will step out and trade away. But with them, no."

In fact, Ranieri said, outgoing...

...to other brokers, are up since Nasdaq switched to fee-based trading. "We

don't mind if some of that [commission] is stepped out and we lose some of that money," he said. "Because we're working a large order which is helping us..."